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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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|-------------------------|---|----------------------|---------------------------------|
| APPLICANT(S):           | Lance Lundberg et al.   | GROUP ART UNIT:      | 2164                            |
| APPLICATION SERIAL NO.: | 09/465,506  | EXAMINER:            | Akers, G.<br>Tel.: 703-306-5844 |
| FILING DATE:            | December 16, 1999   | ATTORNEY DOCKET NO.: | ICON 102 US<br>RCE              |
| TITLE OF APPLICATION:   | SYSTEM AND METHOD FOR SUPPORTING SECURITY TRADE FINANCING SERVICE |                      |                                 |

**CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))**

I hereby certify that this paper (along with any referred to as being deposited) was deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

Rena Barrett

(Type or Print Name of Mailer)

Date: March 8, 2004

*Rena Barrett*  
(Signature of Mailer)

**RESPONSE TO FINAL OFFICE ACTION AND AMENDMENT**

MAIL STOP RCE

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

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**GROUP 3600**

**I. INTRODUCTORY COMMENTS**

Applicant respectfully submits this document as responsive to the Office Action mailed from the USPTO on June 4, 2003. In conjunction with the accompanying Request for Continued Examination under 37 CFR 1.114, Applicant requests withdrawal of the final rejection.

• **Location of Specified Sections for Scanning of this Document**

| <b>SECTIONS OF DOCUMENT</b>         | <b>LOCATION OF SECTION</b> |
|-------------------------------------|----------------------------|
| <b>I. INTRODUCTORY COMMENTS</b>     | <b>Pages 1 – 3</b>         |
| <b>II. AMENDMENTS TO THE CLAIMS</b> | <b>Page 4 – 15</b>         |
| AMENDMENTS TO THE SPECIFICATION     | N/A                        |
| AMENDMENTS TO THE DRAWINGS          | N/A                        |
| <b>III. REMARKS</b>                 | <b>Pages 16 – 30</b>       |
| APPENDIX                            | N/A                        |

• **Request for Entrance of Response**

Applicants respectfully request that the following amendments be entered, and the remarks set forth below be considered, as responsive to the pending office action in this case, bearing the mailing date of June 4, 2003. An erroneously issued Notice of Abandonment (Paper No. 13) for being allegedly unresponsive to said Office Action (Paper No. 14) (“Office Action”) was withdrawn by the Examiner on January 14, 2004 (Paper No. 14). This Response and amendment is submitted pursuant to the Notice of Appeal stamped as received in the USPTO mail room on December 8, 2003. No brief on appeal has been submitted.

• **Request for, and Payment of, Extension Fee for Response to Office Action**

This response and request for continued examination is submitted after a notice of appeal stamped as received by the United States Patent Office Mail Room on November 8, 2003. Applicant requests a one month extension up to and including March 8, 2004. A check for the required small entity fee of \$55.00 is enclosed. The Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment, to Deposit Account 033-975.

- **Format of this Response**

This response is submitted in compliance with the revised format for making amendments to the specification, claims and drawings officially adopted by the USPTO on July 30, 2003, and which is now reflected in 37 C.F.R. §1.121. Only one version of the claims with markings to show changes are provided in accordance with such regulation (underlining to show additions and strike-through marks or [[ ]] (for deletion of five or less characters) to indicate deleted material). A detailed listing of all claims that are, or were in the application, delineated as either (Original), (Currently Amended), (Canceled), (Withdrawn), (Previously presented), (New), or (Not entered), are presented . A complete listing of the claims commence on a separate sheet of this document with the text of “canceled” or “not entered” claims not being presented as set forth in the revised rules. Withdrawn claims and claims unamended are shown without mark-up. Concurrent “canceled” or “not entered” claims may be aggregated.

If a substitute specification is submitted herein, a clean form and marked-up version are included. Amendments to drawings, if any, are submitted in compliance with 37 C.F.R. §1.84 on replacement sheets as an attachment to this document (with an accompanying detailed explanation of all of the changes with respect to the drawings made in the remarks section of this amendment.